

SOFER & HAROUN, L.L.P.
PATENT FILING TRANSMITTAL

ATTORNEY DOCKET NO: 828-002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application
Commissioner of Patents and Trademarks
Washington, D.C. 20231

PATENT FILING TRANSMITTAL

Transmitted herewith for filing is the Patent Application of: **Jerome S. Golden**

For: **SYSTEM AND METHOD FOR PROVIDING SECURE RETIREMENT BENEFITS VIA A
CONVERSION PROCESS**

TYPE OF FILING

This new patent application is for a(n):

- ☒ [X] Utility
- ☐ [] Design
- ☐ [] Plant
- ☐ [] Divisional
- ☐ [] Continuation
- ☐ [] Continuation-in-part

Benefit of a prior filed application

- ☐ This is a continuation-in-part of copending application Serial No. _____ filed on _____ claims the benefit of an earlier filed U.S. Patent Application under 35 USC 120.
- ☐ Please accord Applicant the benefit of the priority date of _____ to this case pursuant to 35 USC 119. Applicant's claim for priority is based on application _____ filed in _____ on that date.

Filing under 37 CFR 1.53 (Utility) or 37 CFR 1.153 (Design)

- ☒ [X] This is an application filed pursuant to 37 CFR 1.53 or 37 CFR 1.153, permitting receipt of a filing date upon filing of a specification, and necessary drawings.
- ☒ [X] In the event any parts of this application are incomplete, please treat this as a filing under 37 CFR 1.53 or 37 CFR 1.153.

ENCLOSURES

Minimum requirements under 37 CFR 1.53(b) (Utility) or 37 CFR 1.153 (Design)

- ☒ [X] 54 pages of specification;

CERTIFICATE OF MAILING (37 CFR 1.10(a))

CERTIFICATE OF MAILING BY "EXPRESS MAIL" - Rule 10: I hereby certify that this correspondence is being deposited with the U. S. Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR 1.10 as Express Mail No. _____ addressed to the Commissioner of Patents & Trademarks, Washington, D.C. 20231 on _____ by _____.

Date: _____

Signed: _____

- ☒ 9 pages of claims;
☒ 1 pages of abstract;
☒ 12 sheets of informal drawings;
☒ A Declaration, Power of Attorney & Petition or listing of inventors;
and
☒ A postcard for return to us as proof of receipt of the above documents.
- plus
- ☐ An Assignment of the invention to ___ and an Assignment cover sheet;
☐ Verified Statement Claiming Small Entity Status (37 CFR 1.9(f) and 1.27(b))
☐ Form PTO-1449 (IDS) and copies of the references listed thereon;
☐ A certified copy of _____ (country) patent application number (priority document).
☐ A preliminary amendment;
☐ Declaration of Biological Deposit;
☐ Submission of sequence listing, computer readable copy and/or amendment relating thereto for biotechnology invention containing nucleotide and/or amino acid sequence;
☐ An associate power of attorney; --
☐ Other.

DECLARATION OR OATH

The enclosed Declaration or Oath has been executed by:

- ☐ Inventor(s);
☐ Legal representative of the inventors (37 CFR 1.42 or 1.43);
☐ Joint inventor or person showing proprietary interest on behalf of an inventor who refused to sign or who cannot be reached and this is a petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is attached;
☒ Has not been executed and is enclosed for the purposes of identifying the inventors.

INVENTORSHIP STATEMENT

The inventorship for all the claims in this application is:

- ☒ the same;
☐ not the same and, as an explanation, a statement is/ will be submitted.

LANGUAGE

The application submitted herewith is:

- ☒ in English;
☐ in not in English and in terms of 37 CFR 1.52(d) a verified translation is
☐ attached
☐ not attached.

FEE CALCULATION

The filing fee has been calculated as shown below:

		OTHER THAN A	
		SMALL ENTITY	OR SMALL ENTITY
BASIC FEE Design Patent		\$155	\$310
BASIC FEE Utility Patent		\$345	\$690
EXTRA FEES		RATE	FEE
TOTAL CLAIMS <u>39</u> MINUS 20 = 19		x 9 = \$ 171	x 18 = \$
INDEP.CLAIMS <u>4</u> MINUS 3 = 1		x 39 = \$39	x 78 = \$
<input type="checkbox"/> MULTIPLE DEP.CLAIM		+130 = \$	+260 = \$
<input type="checkbox"/> ASSIGNMENT		+ 40 = \$	+ 40 = \$
<input type="checkbox"/> RULE 53 SURCHARGE		+ 65 = \$	+130 = \$
TOTAL		\$555.00	\$ 0

FEE PAYMENT

- ☒ No Fee is Enclosed at this time.
☐ Attached is Check No. _____ in the sum of \$_____ to cover the filing and, if applicable, the assignment fee.
☐ Please charge Account No.19-2825 the sum of \$_____.

FEE DEFICIENCY

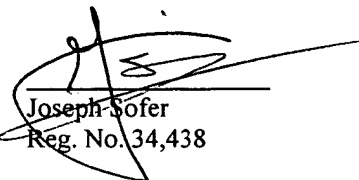
- ☒ The Commissioner is authorized to charge (or credit any overpayment) to deposit account No.19-2825:
☒ Any additional filing fees required under 37 CFR 1.16, except Rule 53 filings, which will be paid within the time permitted by PTOL 1533.
☐ Assignment Recordal fees.
- ☒ The filing fee and surcharge under 37 CFR 1.16, patent application processing fees under 37 CFR 1.17 and patent issue fees under 37 CFR 1.18 are intended to be paid by our firm as they arise. As no abandonment is intended by any inadvertent nonpayment of fees, the Commissioner is hereby authorized to charge payment of such fees as from time to time come due, if not paid prior to due date to our Deposit Account No. 19-2825 .
- ☐ A duplicate copy of this sheet is enclosed.

Dated: 4/3/00

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Respectfully submitted,


Joseph Sofer
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04/03/00
JC780 U.S. PTO

4-4-00

A

PATENT

Docket No. 828-002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Jerome Golden
Serial No. : Not yet assigned
Filed : April 3, 2000
For : SYSTEM AND METHOD FOR PROVIDING SECURE RETIREMENT
BENEFITS VIA A CONVERSION PROCESS

EXPRESS MAIL CERTIFICATE

Express Mail Label No. EL501807786US

Date of Deposit April 3, 2000

I hereby certify that the following attached paper(s) or fee

- 1) Patent Application (specif.-54 pgs.)
- 2) Informal Drawings (12 sheets)
- 3) Patent Transmittal
- 4) Return Postcard
- 5) Express Mail Certificate
- 6) Declaration-unexecuted

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Ester Aronova

(Typed or printed name of person
mailing paper(s) or fee)

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